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1

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350 WEST CO	LORADO BOULEVA	RD		
SUITE 500			ART UNIT	PAPER NUMBER
PASADENA,	CA 91105		3621	

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Please find below and/or attached an Office communication concerning this application or proceeding.

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	Application No.	icant(s)	1/		
•	09/688,452	OGG ET AL.			
Office Action Summary	Examiner	Art Unit			
	Firmin Backer	3621			
The MAILING DATE of this communication Period for Reply	appears on the cover sheet v	vith the correspondence addres	'S		
A SHORTENED STATUTORY PERIOD FOR RE	EPLY IS SET TO EXPIRE 3 N	MONTH(S) FROM			
THE MAILING DATE OF THIS COMMUNICATIO  - Extensions of time may be available under the provisions of 37 CFI after SIX (6) MONTHS from the mailing date of this communication  - If the period for reply specified above is less than thirty (30) days, a  - If NO period for reply is specified above, the maximum statutory pe  - Failure to reply within the set or extended period for reply will, by st  - Any reply received by the Office later than three months after the m  earned patent term adjustment. See 37 CFR 1.704(b).  Status	R 1.136(a). In no event, however, may a a reply within the statutory minimum of the priod will apply and will expire SIX (6) MC tatute, cause the application to become A	irty (30) days will be considered timely. NTHS from the mailing date of this commu BANDONED (35 U.S.C. § 133).	nication.		
1) Responsive to communication(s) filed on	16 October 2000 .				
2a)⊠ This action is <b>FINAL</b> . 2b)□	This action is non-final.				
3) Since this application is in condition for all closed in accordance with the practice und	•	· •	erits is		
Disposition of Claims					
4) Claim(s) 1-68 is/are pending in the applica					
4a) Of the above claim(s) is/are with	drawn from consideration.				
5) Claim(s) is/are allowed. 6) Claim(s) <u>1-68</u> is/are rejected.					
7) Claim(s) is/are objected to.					
8) Claim(s) are subject to restriction ar	nd/or election requirement.				
Application Papers					
9)☐ The specification is objected to by the Exam	niner.				
10)☐ The drawing(s) filed on is/are: a)⊠ a	ccepted or b) objected to by	the Examiner.			
Applicant may not request that any objection t	to the drawing(s) be held in abe	ance. See 37 CFR 1.85(a).			
11) ☐ The proposed drawing correction filed on is: a) ☐ approved b) ☐ disapproved by the Examiner.					
If approved, corrected drawings are required in	• •				
12) The oath or declaration is objected to by the	Examiner.				
Priority under 35 U.S.C. §§ 119 and 120					
13) Acknowledgment is made of a claim for for	eign priority under 35 U.S.C.	§ 119(a)-(d) or (f).			
a) ☐ All b) ☐ Some * c) ☐ None of:					
1. Certified copies of the priority docum					
2. Certified copies of the priority docum					
<ul> <li>3. Copies of the certified copies of the paper application from the International</li> <li>* See the attached detailed Office action for a</li> </ul>	Bureau (PCT Rule 17.2(a)).		je		
14) Acknowledgment is made of a claim for dom	estic priority under 35 U.S.C	. § 119(e) (to a provisional app	lication).		
a)  The translation of the foreign language	• •				
Attachment(s)					
1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948) 3) Information Disclosure Statement(s) (PTO-1449) Paper No	) 5) Notice of	Summary (PTO-413) Paper No(s) Informal Patent Application (PTO-152			
D. C.					

Application/Control Number: 09/688,452 Page 2

Art Unit: 3621

### Response to Amendment

This is in response to an amendment file on September 29<sup>th</sup>, 2003 for letter for patent filed on October 16<sup>th</sup>, 2000 in which claims 1-68 were presented for examination. In the amendment, claims 1, 30 and 57 have been amended, no claim has been canceled, and no claim has been added. Claims 1-68 remain pending in the letter.

# Claim Rejections - 35 USC § 103

- 1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
  - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 2. Claims 1-68 are rejected under 35 U.S.C. 103(a) as being unpatentable over by Whitehouse (U.S. Patent No. 6,005,945) in view of Leon (U.S. Patent No. 6,424,954).
- 3. As per claim 1, Whitehouse teaches a security system (secure central computer, 102) for securing data in a computer network (network 100, fig 3, 4, 7) comprising a plurality of user terminals (customer, user, 102) coupled (connected) to the computer network, a cryptographic device (cryptographic key) remote from the plurality of user terminals and coupled to the computer network, a plurality of security device transaction data for ensuring authenticity of the one or more users, wherein each security device transaction data is related to a user (see fig 3, 4 and 7, column 8 line 30-9 line 63). Whitehouse fails to teach a cryptographic device includes a

Application/Control Number: 09/688,452

Art Unit: 3621

computer executable code for authenticating one or more users and verifying that the authenticated user is authorized to assume a role. However, Leon teaches a cryptographic device includes a computer executable code for authenticating one or more users and verifying that the authenticated user is authorized to assume a role (*see column 8 lines 45-67, 9 lines 20-27*). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's cryptographic device includes a computer executable code for authenticating one or more users and verifying that the authenticated user is authorized to assume a role because this would have provided knowledge to the system as to which entity is using the system in order to determine which key to load unto system and which level of security is applicable.

- 4. As per claim 2, Whitehouse teaches a system wherein the security device transaction data related to a user is loaded into the cryptographic device when the user requests to operate on a value bearing item (see column 9 line 32-63).
- 5. As per claim 3, Whitehouse teaches the claim inventive concept stated in claim 1. Whitehouse fails to teach a system wherein the assumed role includes one or more corresponding operations to be performed by the authenticated user. However, Leon teaches a system wherein the assumed role includes one or more corresponding operations to be performed by the authenticated user (see column 8 lines 45-62, 9 lines 20-27, 35-67). Therefore, it would have been obvious to one of ordinary skill in that art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's system wherein the assumed role includes one or more corresponding operations to be performed by the authenticated user because this would

Application/Control Number: 09/688,452

Art Unit: 3621

have provided knowledge to the system as to which entity is using the system in order to determine which key to load unto system and which level of security is applicable.

As per claim 4-10, Whitehouse teaches Whitehouse teaches the claim inventive concept 6. stated in claim 1. Whitehouse fails to teach a system wherein the assumed role is a security officer role to initiate a key management function, a key custodian role to take possession of shares of keys, an administrator role to manage a user access control database, an auditor role to manage audit logs, a provider role to withdraw from a user account, a user role to operate on a VBI, a certificate authority role to allow a public key certificate to be loaded and verified. However, Leon teaches a system wherein the assumed role is a security officer role to initiate a key management function, a key custodian role to take possession of shares of keys, an administrator role to manage a user access control database, an auditor role to manage audit logs, a provider role to withdraw from a user account, a user role to operate on a VBI, a certificate authority role to allow a public key certificate to be loaded and verified (see column 8 lines 45-9 line 67). Therefore, it would have been obvious to one of ordinary skill in that art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's system wherein the assumed role is a security officer role to initiate a key management function, a key custodian role to take possession of shares of keys, an administrator role to manage a user access control database, an auditor role to manage audit logs, a provider role to withdraw from a user account, a user role to operate on a VBI, a certificate authority role to allow a public key certificate to be loaded and verified because this would have provided knowledge to the system as to which entity is using the system in order to determine which key to load unto system and which level of security is applicable.

Application/Control Number: 09/688,452

Art Unit: 3621

7. As per claims 11-14, 16, Whitehouse teaches the inventive concept as stated in claim 1. Whitehouse fails to teach a system wherein the cryptographic device includes a state machine for determining a state corresponding to availability of one or more commands in conjunction with the role, stateless, includes a computer executable code for preventing unauthorized modification of data, for ensuring the proper operation of cryptographic security and VBI related meter functions, for supporting multiple concurrent users and maintaining a separation of roles and operations performed by each user. However, Leon teaches a system wherein the cryptographic device includes a state machine for determining a state corresponding to availability of one or more commands in conjunction with the role, stateless, includes a computer executable code for preventing unauthorized modification of data, for ensuring the proper operation of cryptographic security and VBI related meter functions, for supporting multiple concurrent users and maintaining a separation of roles and operations performed by each user (see column 8 lines 45-9 line 67). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's system wherein the cryptographic device includes a state machine for determining a state corresponding to availability of one or more commands in conjunction with the role, stateless, includes a computer executable code for preventing unauthorized modification of data, for ensuring the proper operation of cryptographic security and VBI related meter functions, for supporting multiple concurrent users and maintaining a separation of roles and operations performed by each user because this would have provided knowledge to the system as to which entity is using the system in order to determine which key to load unto system, which state to operate the system and which level of security is applicable.

Art Unit: 3621

8. As per claim 15, Whitehouse teaches a system wherein at least one of the users is an enterprise account (see column 23 line 41-67).

- 9. As per claim 17-18, Whitehouse teaches a system wherein the value bearing item is a mail piece comprises a digital signature (fig 2).
- 10. As per claim 19 and 20, Whitehouse teaches a system wherein the cryptographic device encrypts validation information according to a user request for printing a VBI, generates data sufficient to print a postal indicium in compliance with postal service regulation on the mail piece (fig 2).
- 11. As per claim 21 and 22, Whitehouse teaches a system wherein bar code is printed on the value bearing item that is a ticket (fig 2).
- 12. As per claim 23 and 24, Whitehouse teaches a system wherein each security device transaction data includes an ascending register value, a descending register value, a respective cryptographic device ID, an indicium key certificate serial number, a licensing ZIP code, a key token for an indicium signing key, user secrets, a key for encrypting user secrets, data and time of last transaction, last challenge received from a respective client subsystem, an operational state of the respective device, expiration dates for keys, and a passphrase repetition list, a private key, a public key, and a public key certificate, wherein the private key is used to sign device status responses and a VBI which, in conjunction with a public key certificate, demonstrates that the device and the VBI are authentic (see column 10 line 45-11 line 29, 20 line 16-40).

Application/Control Number: 09/688,452

Art Unit: 3621

- 13. As per claim 25, Whitehouse teaches a system further comprising at least one more cryptographic device remote from the plurality of user terminals coupled to the computer network, wherein the at least one more cryptographic device includes a computer executable code for authenticating any of the plurality of users (see figs 4, and 7).
- 14. As per claim 26, Whitehouse teaches a system wherein the cryptographic device shares a secret with the at least one more cryptographic device (see column 8 lines 30-42, 9 lines 12-31, 10 lines 50-11 line 29, 12 lines 35-64).
- 15. As per claim 27-29, Whitehouse teaches a system wherein one of the plurality of cryptographic devices is a master device and generates a master key set (MKS) includes a Master Encryption Key (MEK) used to encrypt keys when stored outside the device and a Master Authentication Key (MAK) used to compute a DES MAC for signing keys when stored outside of the device exported to other cryptographic devices by any cryptographic device (see column 4 line 20-27, 16 lines 39-44, 23 lines 41-67).
- 16. As per claim 30, Whitehouse teaches a method for securing data (secure computer, 104, for securing data) in a computer network (network, 100, fig 3 and 4) having a plurality of user terminals (user, 102), the method comprising storing (memory for storing, 154) information (user data) about a plurality of users using the plurality of terminals in a database remote from the plurality of securing the information about the users in the database by one or more of cryptographic devices (cryptographic keys) remote from the plurality of user terminals, storing a plurality of security device transaction data (transaction data), wherein each transaction data is related to one of the plurality of users. Whitehouse fails to teach verifying that a user is

Application/Control Number: 09/688,452

Art Unit: 3621

authorized to assume a role. However Leon teaches verifying that a user is authorized to assume a role (see column 8 lines 45-67, 9 lines 20-27). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's verifying that a user is authorized to assume a role because this would have provided knowledge to the system as to which entity is using the system in order to determine which key to load unto system and which level of security is applicable.

- 17. As per claim 31, Whitehouse teaches a method of loading a security device transaction data related to a user into one of the one or more of cryptographic devices when the user requests to operate on a value bearing item (see column 9 line 32-63).
- 18. As per claim 32-40, Whitehouse teaches the inventive concept as stated in claim 1. Whitehouse fails to teach a method of authenticating the identity of each user, verifying that the user is authorized to perform a corresponding operation based on the assumed role wherein the assumed role is a security officer role and the corresponding command is initiating a key management function, a key custodian role to take possession of shares of keys, an administrator role to manage a user access control database, an auditor role to manage audit logs, a provider role to authorize increasing credit for a user account, a user role to perform expected IBIP meter operation, a certificate authority role to allow a public key certificate to be loaded and verified. However Leon teaches a method of authenticating the identity of each user, verifying that the user is authorized to perform a corresponding operation based on the assumed role wherein the assumed role is a security officer role and the corresponding command is initiating a key management function, a key custodian role to take possession of shares of keys, an administrator

Application/Control Number: 09/688,452 Page 9

Art Unit: 3621

role to manage a user access control database, an auditor role to manage audit logs, a provider role to authorize increasing credit for a user account, a user role to perform expected IBIP meter operation, a certificate authority role to allow a public key certificate to be loaded and verified (see column 8 lines 45-9 line 67). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's a method of authenticating the identity of each user, verifying that the user is authorized to perform a corresponding operation based on the assumed role wherein the assumed role is a security officer role and the corresponding command is initiating a key management function, a key custodian role to take possession of shares of keys, an administrator role to manage a user access control database, an auditor role to manage audit logs, a provider role to authorize increasing credit for a user account, a user role to perform expected IBIP meter operation, a certificate authority role to allow a public key certificate to be loaded and verified because this would have provided knowledge to the system as to which entity is using the system in order to determine which key to load unto system, which state to operate the system and which level of security is applicable.

19. As per claim 41, Whitehouse teaches the inventive concept as stated in claim 1. Whitehouse fails to teach a method of determining a state corresponding to availability of one or more commands in conjunction with the roles. However, Leon teaches a method of determining a state corresponding to availability of one or more commands in conjunction with the roles (see column 8 lines 45-62, 9 lines 35-67). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's a method of determining a state corresponding to availability of one or more

Application/Control Number: 09/688,452

Art Unit: 3621

commands in conjunction with the roles this would have provided knowledge to the system as to which entity is using the system in order to determine which level of security is applicable.

- 20. As per claim 43, Leon teaches a method wherein the state machine includes one or more of an uninitialized state, an initialized state, an operational state, an administrative state, an exporting shares state, an importing shares state, and an error state (see column 9 lines 59-67).
- 21. As per claim 44, Whitehouse teaches a method of storing data for creating an indicium, account maintenance, and revenue protection (see figs 4 and 7).
- 22. As per claim 45-47, Whitehouse teaches a method of printing a mail piece includes a digital signature, a postage amount, an ascending register of used postage and descending register of available postage (see abstract, column 16 lines 25-38).
- 23. As per claim 48, 49, Whitehouse teaches a method of printing a ticket, a coupon (see fig 2).
- As per claim 50, Whitehouse teaches a method wherein the security device transaction data includes an ascending register value, a descending register value, a respective cryptographic device ID, an indicium key certificate serial number, a licensing ZIP code, a key token, an indicium signing key, user secrets, a key for encrypting user secrets, data and time of last transaction, last challenge received from a respective client subsystem, an operational state of the respective device, expiration dates for keys, and a passphrase repetition list (see column 8 lines 30-42, 9 lines 12-31, 10 lines 50-11 line 29, 12 lines 35-64).

Application/Control Number: 09/688,452 Page 11

Art Unit: 3621

- 25. As per claim 51, Whitehouse teaches a method of using a private key to sign device status responses and the VBI which, in conjunction with a public key certificate, demonstrates that the device and the VBI are authentic (see column 9 line 32-63).
- 26. As per claim 52, Whitehouse teaches a method of sharing a secret with any of the other devices (see column 9 line 32-63).
- As per claim 53-56, Whitehouse teaches a method of generating a master key set (MKS), generating a Master Encryption Key (MEK) used to encrypt keys when stored outside the device, Master Authentication Key (MAK) used to compute a DES MAC for signing keys when stored outside of the device and performing one or more of Rivest, Shamir and Adleman (RSA) public key encryption, DES, Triple-DES, DSA signature, SHA-1, and Pseudo-random number generation algorithms by each of the cryptographic devices (*see column 4 line 20-27, 16 lines 39-44, 23 lines 41-67*).
- As per claim 57, Whitehouse teaches a cryptographic device (secure central computer, 102) for securing data (postal information) on a computer network (network 100, fig 3, 4) comprising a processor (postal authority computer for processing, 180) programmed to authenticate (authenticate) a plurality of users (users, 104) on the computer network (network 100, fig 3, 4) for secure processing of a value bearing item (postal indicium, fig 2) (see abstract, figs 2, 3, 4), a memory (memory, 154) for storing (stores) security device transaction data (records) for ensuring authenticity of a user, wherein the security device transaction data is

Application/Control Number: 09/688,452

Art Unit: 3621

related to the one of the plurality of users, a cryptographic engine (cryptographic key) for cryptographically protecting data and an interface (interface, 152, 112, 252) for communicating with the computer network (see abstract, fig 4, 7, column 8 lines 54-8 line 63). Whitehouse fails to teach a system wherein to determine that user is authorized to assume a role. However Leon teaches a system wherein to determine that user is authorized to assume a role (see column 8 lines 45-67, 9 lines 20-27). Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's a system wherein to determine that user is authorized to assume a role because this would have provided knowledge to the system as to which entity is using the system in order to determine which key to load unto system and which level of security is applicable.

29. As per claim 58-62, Whitehouse teaches the inventive concept stated in claim 1. Whitehouse fails to teach a cryptographic device wherein the processor is programmed to verify that the identified user is authorized to assume a role of a key custodian role to take possession of shares of keys, an administrator role to manages a user access control database, a provider role to authorize increasing credit for a user account or a user role to perform expected IBIP postal meter operations and perform a corresponding operation. However, Leon teaches a cryptographic device wherein the processor is programmed to verify that the identified user is authorized to assume a role of a key custodian role to take possession of shares of keys, an administrator role to manages a user access control database, a provider role to authorize increasing credit for a user account or a user role to perform expected IBIP postal meter operations and perform a corresponding operation (see column 8 lines 45-9 line 67).

Application/Control Number: 09/688,452

Art Unit: 3621

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Whitehouse's inventive concept to include Leon's a cryptographic device wherein the processor is programmed to verify that the identified user is authorized to assume a role of a key custodian role to take possession of shares of keys, an administrator role to manages a user access control database, a provider role to authorize increasing credit for a user account or a user role to perform expected IBIP postal meter operations and perform a corresponding operation because this would have provided knowledge to the system as to which entity is using the system in order to determine which level of security is applicable.

- 30. As per claim 63-65, Whitehouse teaches a cryptographic device further comprising a stored secret that is a password, a public/private key for cryptographically protecting data (see column 8 lines 30-42, 9 lines 12-31, 10 lines 50-11 line 29, 12 lines 35-64).
- 31. As per claim 66, Whitehouse teaches a cryptographic device wherein the value bearing item is a postage value including a postal indicium (see abstract, column 16 lines 25-38).
- 32. As per claim 67-68, Whitehouse teaches a cryptographic device wherein the value bearing item that include a bar code is a ticket (fig 2).

Application/Control Number: 09/688,452

Art Unit: 3621

## Response to Arguments

- 33. Applicant's arguments filed October 29<sup>th</sup>, 2003 have been fully considered but they are not persuasive.
  - a. Applicants argues that the prior arts (Whitehouse and Leon) fail to teach among other thing a cryptographic device includes a computer executable code for authenticating one or more users and verifying that the authenticated user is authorized to assume a role. Examiner respectfully disagrees with applicant's characterization of the prior arts. Whitehouse teach among other things and end user computer typically includes a data processor and a communication procedure for sending postage requests to a secure central computer at which a user account has been established, and for receiving a corresponding digital postage indicium. A postage indicium printing procedure prints a postage indicium in accordance with the received digital postage indicium. Each postage request will typically include a user account identifier that identifies a previously established user account, a source address identifier indicating where a mail piece is to be mailed from, a destination address identifier indicating where the mail piece is to be mailed to, authentication information for authenticating that the postage request is from an end user associated with the specified user account identifier (emphasis added). The digital postal indicia will typically include data representing the user account identifier, source address identifier, and destination address identifier in a corresponding on of the postage requests. Leon discloses in the background of his disclosure the problem with postage meters that have been dedicated, stand-alone devices, capable only of printing

Application/Control Number: 09/688,452

Art Unit: 3621

postage indicia on envelopes (or labels, in the case of parcels). These devices normally reside at a single user location and only provide postage metering for that location. Such postage meters often require the user to physically transport the device to a post office for resetting (i.e., increasing the amount of postage contained in the meter). Leon's inventive concept solves this problem by creating a system that includes a postage metering system that includes a host PC, an SMD, and a printer. The host PC includes a user interface to receive postage information. The system postage metering system includes a postage metering device that couples to a host personal computer (host PC) via a communications link. Host PC couples to a system server via another communications link which can be a serial link, a telephone link, a wireless link, or other links, which indicates that the secure postage device is remotely located from the user. Metering device includes a secure meter device (SMD) responsible for maintaining the contents of certain security relevant data items (SRDIs). The SMD comprises a cryptographic module that performs the secure processing required by the postage metering system. The SMD supports the provider role by providing the following services: Registration, Funding, Audit, and Withdrawal. Whenever one of these services is requested, the SMD validates that the requester is an authorized provider. This is achieved by using the provider's public key to validate the signature on the service request that has been signed using the provider's private key. The provider's public key is retrieved from the Provider X.509 certificate that is loaded by the Crypto-Officer during initialization.

Application/Control Number: 09/688,452

Art Unit: 3621

- b. In response to applicant's argument that there is no suggestion to combine the references, the examiner recognizes that obviousness can only be established by combining or modifying the teachings of the prior art to produce the claimed invention where there is some teaching, suggestion, or motivation to do so found either in the references themselves or in the knowledge generally available to one of ordinary skill in the art. See *In re Fine*, 837 F.2d 1071, 5 USPQ2d 1596 (Fed. Cir. 1988)and *In re Jones*, 958 F.2d 347, 21 USPQ2d 1941 (Fed. Cir. 1992). In this case, both references are in the same technological art and furthermore on of ordinary skill in the art would find is constructive and innovative to combine the concept of Whitehouse with Leon because it would have provide a more secure remotely centralized system wherein both postage accounting and security features are highly desirable. Such a system would allow the printing of postage indicia at locations that are convenient to the end-user by allowing the user to take a portion of the system to the item in need of postage, rather than the reverse.
- c. In response to applicant's argument that the examiner's conclusion of obviousness is based upon improper hindsight reasoning, it must be recognized that any judgment on obviousness is in a sense necessarily a reconstruction based upon hindsight reasoning.

  But so long as it takes into account only knowledge which was within the level of ordinary skill at the time the claimed invention was made, and does not include knowledge gleaned only from the applicant's disclosure, such a reconstruction is proper.

  See *In re McLaughlin*, 443 F.2d 1392, 170 USPQ 209 (CCPA 1971).

Art Unit: 3621

#### Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Firmin Backer whose telephone number is (703) 305-0624. The examiner can normally be reached on Mon-Thu 9:00 AM - 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on (703) 305-9768. The fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1/13.

Firmin Backer

Examiner

Art Unit 3621